



**USAID**  
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# EVALUATION PROGRAM GUIDEBOOK

## Part 2, Civil Service

A Mandatory Reference for ADS Chapter 462

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## *I. Introduction*

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The ability of the U.S. Agency for International Development (USAID) to achieve its mission depends upon its employees. The skills and abilities they use in carrying out their responsibilities determine how successfully the Agency performs its overall mission. The Employee Evaluation Program (EEP) links an employee's performance to the achievement of the Agency's mission and goals. The performance plan provides a framework to establish accountability for achieving results within an individual operating unit in accord with the unit's strategic objectives.

The EEP applies to all Civil Service (CS), Foreign Service (FS), Senior Foreign Service (SFS), Schedule C employees, and to all employees whose salaries are Administratively Determined (AD). It does not apply to Senior Executive Service (SES) employees, Presidential appointees, consultants, or experts.

The EEP consists of two different personnel systems, FS (Part 1) and CS (Part 2), which are each governed by different statutory requirements, and ADS Chapters. Each system has its own policies and procedures to evaluate and measure employee performance. Although the systems share some similarities, the EEP Guidebook details different processes for the CS and FS evaluation programs. Furthermore, the Guidebook provides CS and FS employees, Rating Officials, and Appraisal Committee (AC) members with an overview of the program's policies and procedures, and detailed instructions on completing the Annual Evaluation Form (AEF). This EEP Guidebook, Part 2, Civil Service, is a Mandatory Reference for ADS Chapter 462.

### Snapshot of the EEP Process

The EEP has a number of steps, beginning with the development of individual performance plans and concluding with the completion of the final written evaluation for each employee. The evaluation period runs from January 1 to December 31 of each year. The evaluation period requires Rating Officials to: 1) set the performance expectations, 2) monitor the performance, 3) develop the employee, 4) evaluate the performance, and 5) reward the performance.

- Start of the evaluation period
  - ❖ Rating Official and employee discuss new performance plan (Performance Elements and Standards) and professional development opportunities (work assignments, career and personal goals, and training). Rating Official discusses performance plan with Approving Official. Approving Official approves plan.
  - ❖ After Approving Official's concurrence, Rating Official presents final performance plan to employee for signature.
  - ❖ Rating Official discusses professional development with employee.
- Throughout the evaluation period
  - ❖ Rating Official provides employee on-going feedback and communication on performance progress.
  - ❖ Rating Official reinforces effective behavior.
  - ❖ If employee moves to new job, AEF is updated with new objectives.
- Middle of the evaluation period

- ❖ **Rating Official conducts a mandatory mid-cycle review (between July 1 - July 31) with employee to discuss performance progress, 360-degree input and, as appropriate, makes written adjustments to the performance plan.**
- ❖ **Approving Official verifies mid-cycle review discussion.**

- **Completion of the evaluation period**
  - ❖ Upon request from Rating Official, employee submits self-assessment and 360-degree sources to Rating Official.
  - ❖ Rating Official uses Appraisal Input Form(s) (AIF) (AID Forms 462-4 and 462-5), 360-degree input, Diversity Checklist (for supervisors and managers), and employee's self-assessment to draft evaluation.
  - ❖ Rating Official shares draft evaluation with employee.
  - ❖ Rating Official submits "Needs Improvement" or "Unacceptable" evaluations to AC for review or when employee or Approving Official has requested AC involvement in AEF process.
  - ❖ Rating Official finalizes AEF and provides it to employee with performance feedback.
  - ❖ Employee submits optional Employee Statement in response to final AEF.

## **Roles and Responsibilities**

A number of different parties cooperate on an annual basis to make the EEP successful. Their roles and responsibilities are as follows:

<b>Principal Officer</b>	<b>Responsibility and Accountability</b>
<ul style="list-style-type: none"> <li>➤ Manages the operating unit's performance evaluation program by adhering to Agency EEP policies, procedures, and schedules;</li> <li>➤ Disseminates information on the EEP to Rating Officials and employees in operating unit;</li> <li>➤ Establishes operating unit AC membership, standard procedures, and internal deadlines;</li> <li>➤ Designates Rating Officials, who will be employee's first-line supervisor;</li> <li>➤ Ensures that all operating unit employees have written performance plans in place within the prescribed 30 days from the start of the rating cycle or employee's start date;</li> <li>➤ Ensures AIFs are completed for departing employees and collected from employee's reassigned from another area(s);</li> <li>➤ Ensures mid-cycle reviews are conducted and annotated on original AEFs;</li> <li>➤ Ensures AC involvement is completed within internal deadline;</li> <li>➤ Ensures the timely submission of AEFs to Office of Human Resources (HR);</li> <li>➤ Ensures that all operating unit employees have written performance plans.</li> </ul>	
<b>Rating Official</b>	<b>Evaluation and Feedback</b>
<ul style="list-style-type: none"> <li>➤ Observes and evaluates employee performance, providing constructive and supportive feedback to employees throughout the entire evaluation period;</li> <li>➤ Addresses poor performance, correcting performance deficiencies, at the onset;</li> <li>➤ Conducts a formal, face-to-face mid-cycle review (between July 1 - July 31);</li> <li>➤ Gathers performance information from employee's self-assessment, 360-degree sources, Diversity Checklist (for supervisors and managers), direct observation of performance, AIF, if any, and other information supervisor feels is relevant;</li> <li>➤ Drafts AEF and Skills Feedback Worksheet (SFW) and presents them to employee for review;</li> <li>➤ Makes revisions, as appropriate, and presents AEF to employee, unless evaluation is "Needs Improvement" or "Unacceptable." In such cases, AC review of draft evaluation is mandatory;</li> <li>➤ Discusses with employee final evaluation results and SFW;</li> <li>➤ Prepares final AEF at the end of the rating cycle.</li> </ul>	
<b>Approving Official</b>	<b>Feedback and Approval</b>

- Verifies Rating Officials observe, evaluate performance, and provide ongoing feedback to each employee;
- Verifies Rating Officials provide feedback, if negative, in a timely manner and in writing;
- Ensures Rating Official has completed Section 6 if employee(s) is performing at the “Minimally Successful” or “Unacceptable” level and that HR/ELR is contacted;
- Verifies Rating Officials conduct at least one mandatory mid-cycle review with each employee;
- Verifies Rating Officials’ review of employee’s self-assessment and work products, gathers additional performance information from relevant sources (AIF and other 360-degree input), drafts AEF (AID Form 462-1) and Skills Feedback Worksheet (SFW) (AID Form 462-3), and discusses both forms with the Appraisal Committee (AC), if requested;
- Reviews AEF, discusses with Rating Officials, and signs.

**Employee**

**Achieving Results**

- Participates in discussion of specific Performance Standards with Rating Official;
- Identifies and discusses with Rating Official developmental opportunities needed to achieve Performance Elements and Performance Standards;
- Self-monitors progress towards achieving Performance Elements and Standards and optional Performance Elements;
- Participates constructively in performance feedback sessions and mid-cycle review;
- Submits written self-assessment and identifies 360-degree input sources;
- Reviews draft AEF with Rating Official;
- Requests AC participation if disagrees with Rating Official and Approving Official’s assessment of performance;
- Prepares and submits optional Employee Statement after reviewing final AEF with Rating Official.

**Appraisal Committee (if required or requested)**

**Organizational Perspective – Review**

- Adheres to EEP policies and procedures to ensure fair treatment of evaluated employees;
- Conducts review of performance plan, mid-cycle review, and/or end-of-cycle AEF upon request by Rating Official or employee;
- Unilaterally removes inadmissible comments from appraisal;
- Ensures timely, accurate, equitable, and objective evaluations for all AEFs reviewed;
- Obtains all supporting documentation from employee and Approving Official when requested or required;
- Makes recommendations concerning employee requests for AEF reconsideration;
- Is authorized to make any change in AEF, including adjectival ratings or summary rating.

**Office of Human Resources**

**Guidance and Support**

- Formulates and oversees implementation of EEP policies, guidance, and training;
- Works closely with managers/supervisors in each operating unit to implement EEP;
- Takes appropriate action when Rating Officials, AC members, or employees fail to follow EEP policies, procedures, or schedule.

## *II. Evaluation Period*

The Agency's evaluation period is one year. The period runs from January 1 through December 31. **All employees who are on an active performance plan of 90 calendar days or more will receive an AEF at the end of the evaluation period. If an employee has not been on a performance plan for 90 calendar days or more at the end of the evaluation period, the period will be extended into the next appraisal period (for example, Oct 4, 2008 - Dec. 31, 2009).**

- a. **Employees arriving on or after October 4 will receive his or her performance plan within 30 days. In such cases, the rating cycle must be extended to meet the 90-day requirement (for example, October 4, 2008 - December 31, 2009).**
- b. **Employees who change jobs or are assigned a new supervisor after October 4 will receive a completed AEF from his or her supervisor, and the new Rating Official will start a new appraisal period that will be extended and will follow the "a" criteria stated above.**
- c. **Employees who change jobs or are assigned a new supervisor anytime before October 4 will receive an AEF. A new performance plan, with adjusted performance expectations, will be developed by the new Rating Official who will complete the AEF at the end of the appraisal cycle.**
- d. **Rating Officials of employees who may have unusual circumstances that may combine any of the above or is not mentioned above should consult the Office of Human Resources, Employee and Labor Relations Division (HR/ELR) for direction.**

The Rating Official will coordinate AEF input from prior supervisors and/or Rating Officials (see Section V - Preparing & Completing the AEF for information on the Appraisal Input Form).

### Annual Evaluation Period

Employment Category	Annual Evaluation Period Starts	Annual Evaluation Period Ends
Civil Service, Including GS and AD	January 1	December 31

## *II. Performance Plans*

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Performance Plans (AEF- Sections 1 and 2) establish Performance Elements and Performance Standards that link an individual employee's accomplishments to the achievement of organizational goals that result in certified alignment with larger Agency goals. A Rating Official must develop any discretionary portions of the performance plan in direct collaboration with the employee. The Rating Official has 30 calendar days to implement the performance plan. For employees who change jobs during an annual evaluation period, Rating Officials will develop performance plans within the respective periods from the day the employee arrives on the new assignment. For example, if an employee changes jobs to another Bureau or office midway through the annual evaluation period, an AIF is completed for the previous position and the new Rating Official has 30 calendar days from the employee's arrival to finalize the performance plan. A performance plan is officially in effect when the Rating Official, Approving Official, and employee sign the AEF (Section 1). If an employee declines to sign the AEF, the Rating Official will annotate the box in the field "employee declines to sign" on the AEF with an "x." If this is the case, the Rating Official will notify the Approving Official that the employee declined to sign. The Rating and Approving Officials will sign the AEF, and an AC Representative will also annotate the AEF indicating the Representative's acknowledgement. The performance plan becomes official the day after the Rating and Approving Officials are signatory to the form.

Performance Elements (AEF - Section 3) are a set of common work responsibilities that all employees perform. All employees have six general Performance Elements. Additionally, all supervisors and managers have four mandatory supervisory and managerial Performance Elements.

Performance Standards are the management-approved expressions of the performance threshold(s), requirement(s), or expectations(s) that must be met to be appraised at a particular level of performance. These standards include, but are not limited to, quality, quantity, timeliness, cost-effectiveness, and manner of performance.

Further Specifications are Performance Standards that must be further specified at the "Fully Successful" level. The further specification section of Performance Standards should describe the expectations of acceptable levels of performance that an employee must achieve to receive a "Fully Successful" rating for the Performance Element.

Critical Performance Elements are of such importance that "Unacceptable" performance on the element would result in the employee receiving an overall "Unacceptable" annual evaluation and could be a basis for adverse action. At least one Performance Element must be critical (Performance Element #1 for all employees has been designated to meet this criterion). The Rating Official will determine, in consultation with the employee, which Performance Elements are critical. Beyond the designation of Performance Element #1 as critical, the four supervisory and managerial Performance Elements are each considered critical.

Appraisal Committee (AC) review of the performance plan is optional, unless requested or required. An employee or Approving Official may request AC involvement in the performance planning process. Upon request for involvement, the AC will assist with the establishment of specific Performance Standards and will sign the AEF prior to the employee signing the form. To request AC involvement, the employee will send a written request (e-mail is sufficient) to the Rating Official, who will request the AC's involvement. If the Approving Official or employee requests AC involvement, the Approving Official or employee will send the written request to the AC Chairperson and a copy to the employee. The AC, with documented good

cause, has ten (10) working days to complete the review. Although the Rating Official cannot invoke AC participation, the Approving Official will keep the Rating Official informed throughout the entire process.

## **Performance Plan Development Steps**

- **Step 1 – Look at the Overall Picture**
  - ❖ **Begin the process by looking at the Agency/Bureau’s strategic goals and objectives.**
- **Step 2 – Determine Operating Unit Accomplishments**
  - ❖ **Determine which Agency/Bureau strategic goals and objectives affect the operating unit and how the unit’s accomplishments (results-oriented outcomes) help the Agency/Bureau/operating unit achieve its strategic goals and objectives.**
- **Step 3 – Determine Individual Accomplishments That Support Operating Unit’s Goals and Strategic Objectives**
  - ❖ **Determine the employee’s accomplishment or product (results-oriented outcomes) that supports and/or links to the operating unit’s strategic goals and objectives. Incorporate this information into the “Role in the Organization” section (Section 2 of the AEF).**
- **Step 4 – Look at Performance Elements and Determine Performance Standards**
  - ❖ **Determine which Performance Elements should be critical or non-critical (see ADS 462.5).**
  - ❖ **Determine how to specifically measure the performance level of each Performance Standard using the measures of quality, quantity, timeliness, and/or cost-effectiveness.**
  - ❖ **Communicate, through further delineation, the Performance Standard at the acceptable level of performance that the employee must achieve to receive a “Fully Successful” rating.**
- **Step 5 – Determine How to Monitor Performance**
  - ❖ **Determine how to monitor the employee’s performance, for example, what data to collect, data sources, when to collect the data, and how to collect it.**
  - ❖ **Periodically assess how the employee is working to achieve the established performance standards.**
  - ❖ **Provide the employee with on-going performance feedback, such as monthly meetings.**
- **Step 6 – Check the Performance Plan**
  - ❖ **Review the plan to ensure Performance Elements are**
    - **aligned with goals attainable**
    - **fair**
    - **applicable**
    - **clear**
    - **within the employee’s control**
    - **challenging**
  - ❖ **Ensure that Performance Standards are observable, quantifiable, clear, avoid negative standards (describe negative performance), and avoid absolutes, which leave no room for error.**

**\*Adapted from the Office of Personnel Management's (OPM) *A Handbook for Measuring Employee Performance***

## Summary of Performance Planning

The following table summarizes evaluation periods and performance planning:

<b>Performance Planning</b>	
<b>Annual Evaluation Period</b>	<b>January 1 - December 31</b>
<b>Establishment of Performance Plan at Beginning of Annual Evaluation Period</b>	<b>Within first 30 calendar days</b>
<b>Performance Plan is Officially in Effect on the</b>	<b>Day After Employee Signs AEF*</b>
<b>Performance Elements are Commensurate with Employee's</b>	<b>Official Position Grade and Position Description</b>
<b>Number of Individual Performance Elements</b>	<b>Six Performance Elements for Non-Supervisors Ten Performance Elements for Supervisors and Managers</b>
<b>Performance Standards Written to Performance Level</b>	<b>Fully Successful</b>
<b>Performance Elements</b>	<b>Performance Elements are either Critical or Non-critical. Number #1 is designated critical</b>
<b>Supervisory/Managerial Performance Elements</b>	<b>For all Supervisors, Supervisory/Managerial Performance Elements are Critical</b>
<b>AC Review of Performance Plan Rating Official, Approving Official, AC (if requested), and Employee sign AEF</b>	<b>Optional, unless required Section 1</b>

\* If the employee declines to sign the AEF (Section 1), the Rating Official will annotate the AEF with an "x" and date it. If this is the case, an AC Representative will initial. The day after the Rating Official and AC annotate the AEF is the date the Performance Plan is officially in effect.

**Remember this wise, old, performance-planning adage:**

**"An ounce of performance planning is worth a pound of performance counseling."**

Keep this adage in mind when developing a performance plan. A well-written, communicated, and monitored performance plan with attainable Performance Elements and quantifiable Performance Standards will assist employees in meeting, or even exceeding, their annual evaluation standards. Good performance plans can eliminate the need for Rating Officials to address poor performance issues during the evaluation period!

## ***IV. Progress Reviews & Employee Feedback***

Progress reviews and employee feedback offer the Rating Official an opportunity to discuss an employee's progress in accomplishing his or her Performance Elements and Performance Standards. There is one mandatory progress review at or as near as feasible to the mid-point of the evaluation period. However, to make progress reviews and feedback effective, the Rating Official must conduct feedback sessions on a periodic and regular basis. Rating Officials are advised to conduct employee feedback sessions throughout the evaluation period, as appropriate.

- Start of Annual Evaluation Period - Rating Official and employee discuss the annual Performance Elements and Performance Standards.
- Mid-Cycle - Mandatory, documented progress review is conducted.
- End of Annual Evaluation Period - Rating Official and Approving Official discuss and sign final AEF. Rating Official then presents AEF to employee.

**Question: What is the true test of an effective employee progress review and feedback program?**

**Answer: When an employee is not surprised by his or her final AEF.**

### **Formal Mid-Cycle Progress Review**

- **Preparing for Progress Review (See pages 15 and 16 for 360-degree Assessment Procedures and Tips)**
  - ❖ Rating Official requests at least three, 360-degree sources from employee.
  - ❖ Employee provides 360-degree sources to Rating Official, for example, names of internal and external customers, and peers.
  - ❖ Raters of supervisors request direct-report subordinates to complete Diversity Checklist (See ADS 462.5).
  - ❖ Rating Official and employee, individually, review Performance Elements and Standards prior to the meeting, and make notes to prepare for the meeting.
  - ❖ Rating Official gathers 360-degree input and creates outline to guide progress review.
- **Conducting the Progress Review**
  - ❖ To foster an environment for open, frank discussion, the Rating Official will
    - Conduct the review privately with employee between July 1 - July 31;
    - Solicit and encourage employee to ask questions and discuss performance successes, impediments, concerns, and career aspirations;
    - Discuss areas where improvement may be needed.
  - ❖ To objectively review employee's job performance, the Rating Official will focus on
    - Comparing performance to Performance Standards for the entire evaluation period versus concentrating on employee's most recent performance;
    - The overall pattern of performance rather than isolated, one-time mistakes;
    - Identifying any unforeseen impediments to performance and making adjustments to the Performance Elements and Performance Standards, as appropriate;
    - Assessing progress towards achieving Performance Elements and Standards and determining any performance gaps;
    - Discussing performance gaps and developing, with employee input, a course of action;

- **If performance is at the “Needs Improvement” or “Unacceptable” level, all parties must consult with the Employee and Labor Relations and Benefits Division (HR/LERB) (see Section 7).**

- **Complete Mid-Cycle Progress Review (Section 1A)**
  - ❖ Rating Official, Approving Official, AC (if requested), and employee sign and date the AEF in Section 1A.
  - ❖ If an employee declines to sign the AEF, Rating Official will annotate the box in the field “employee declines to sign” on the AEF with an “x.” If this is the case, Rating Official will notify Approving Official that employee declined to sign. The Rating and Approving Officials will sign the AEF and an AC Representative will also annotate the AEF indicating the representative’s acknowledgement. The date Rating and Approving Officials become signatory to the form is the effective date of the mid-year review.

**Tips for a Successful Progress Review**

- Hold the progress review in person.
- Use two-way communication and good listening skills.
- Ensure that employees understand performance expectations.
- Give specific examples when there is a performance problem and coach the employee on what needs to be done to correct the problem.
- Listen to and directly address employee performance concerns.
- Determine if performance gaps are within employee’s control.
- Recognize employees for good performance.
- Document the progress review and share notes with employee.

**Effective Employee Feedback**

Consistent, timely, and effective feedback from the Rating Official can help an employee reach his or her highest performance potential. Feedback focuses on performance. The following are examples of effective feedback:

Suggestion	Ineffective Examples	Effective Examples
Avoid feedback on personality characteristics	“You have an abrasive personality.”	“You tend to raise your voice with other team members during everyday discussions. This is inappropriate.”
Give specific statements when possible and support general statements with specific examples	“You are a very good speaker.”	“Your presentation on the Hill demonstrated exceptional communication skills in describing how USAID coordinated with the State Department in the design of our democracy strategy.”
Make feedback clear,	“You need to work on your writing	“You need to reduce

Suggestion	Ineffective Examples	Effective Examples
direct, and to the point	skills.”	the use of informal language in your writing. For example, in this memo...”
Direct feedback toward actions within the employee's control	“You would be more effective if you had a Ph.D. in economics.”	“Your presentations would be more effective if you establish eye contact with the audience.”
Provide immediate feedback	“Last May you missed a reporting deadline and four others before that.”	“Yesterday, you missed the reporting deadline. This has happened four times since last fall, and each time I brought it to your attention.”
Plan feedback carefully	“I guess it's time to have a mid-cycle review. What shall we talk about?”	“I have carefully reviewed your performance to date and I would like to discuss my observations and the 360° feedback with you.”
Avoid interpreting the employee's actions and summarize behaviors	“You must hate writing those reports since you skip them all the time.”	“I noticed that recently you missed the filing deadline on several reports.”

## *V. Preparing & Completing the AEF*

To prepare the final AEF, the Rating Official will gather and synthesize information from a variety of sources to evaluate an employee's performance against the established Performance Elements and Standards. A cornerstone of the AEF process is the 360-degree assessment, which provides multi-source feedback on an employee's performance and accomplishments. Three hundred and sixty degree assessments typically come from supervisors, peers, customers, managers, subordinates, and other stakeholders in the employee's performance. An equally significant part of the 360-degree assessment is the employee's self-assessment of his or her own performance and accomplishments. Rating Officials will annotate the final AEF to indicate the 360-degree sources received (Sections 1B & 1C).

The AEF (AID Form 462-1) is used to evaluate the performance of all Civil Service employees. All AEFs must be prepared and signed by the Rating Official and the Approving Official and signed by the employee.

The following steps are to be followed in the annual evaluation process:

### Preparation of AEF

1. The Rating Official works in collaboration with the employee within 30 calendar days of the beginning of the rating cycle. Performance Elements are general and have been set.
2. If AC participation is requested by the Approving Official or employee, the AC has final approval authority.
3. If AC participation is not requested by the Approving Official or employee, the Approving Official has final approval authority.
4. The Rating Official, the Approving Official, the AC Representative (if requested), and the employee sign Section 1 of the AEF to authenticate the performance plan. AC involvement is optional unless the employee declines to sign. If an employee declines to sign the AEF, the Rating Official will annotate the box in the field "employee declines to sign" on the AEF with an "x." If this is the case, the Rating Official will notify the Approving Official that the employee declined to sign. The Rating and Approving Officials will sign the AEF and an AC Representative will also annotate the AEF indicating the representative's acknowledgement. The performance plan becomes official the day after the Rating and Approving Officials are signatory to the form.

### Mid-Cycle Review

5. The Rating Official asks the employee to provide at least three, 360-degree sources, which will be used for the mid-cycle review. If the employee is a supervisor, the Rating Official requests the names of at least two subordinates for 360-degree input on Performance Elements and Standards and also requests that all subordinates complete the Diversity Checklist.
6. At the mandatory mid-cycle review, the Rating Official discusses with the employee the progress made or any deficiency shown. The mid-cycle review includes comments from 360-degree sources. Other feedback sessions should also be held, as appropriate.

7. If the employee's performance is at the "Minimally Successful" level at any time during the rating cycle, the Rating Official outlines the deficiencies in writing in Section 6 of the

AEF and counsels the employee. Depending upon the time left in the rating period and the severity of the deficient performance, Rating Officials may establish an Individual Development Plan (IDP) or update a current IDP to help raise an employee to an acceptable level of performance. If performance has not improved to the "Fully Successful" level by the end of the rating cycle, the employee's next Within Grade Increase may be withheld.

8. If the employee's performance is at the "Unacceptable" level at any time during the rating cycle, the Rating Official outlines the deficiencies in writing in Section 6 of the AEF and counsels the employee. At this point, the employee is to be placed on a Performance Improvement Plan (PIP). The maximum allowance for improvement to the "Needs Improvement" level or higher is 90 calendar days.

9. If the employee's performance is at the "Minimally Successful" or "Unacceptable" level at any time during the rating cycle, the Office of Human Resources, Employee and Labor Relations and Benefits Division (HR/LERB) must be contacted by the Rating Official.

10. If the employee's performance is at the "Unacceptable" level, the Rating Official, Approving Official, AC Representative, and employee will sign Section 6.

11. If the employee's performance improves to a "Fully Successful" level or above by the end of the rating cycle, Section 6 of the AEF is removed and is not forwarded to HR nor placed in the employee's official Performance Evaluation File.

12. The Rating Official, Approving Official, and the employee sign Section 1A to authenticate the mid-cycle review. AC involvement is optional, unless the employee declines to sign. If an employee declines to sign the AEF, the Rating Official will annotate the box in the field "employee declines to sign" on the AEF with an "x." If this is the case, the Rating Official will notify the Approving Official that the employee declined to sign. The Rating and Approving Officials will sign the AEF and an AC Representative will also annotate the AEF indicating the Representative's acknowledgement. The date the Rating and Approving Officials become signatory to the form is the effective date of the mid-year review.

13. The Rating Official again asks the employee to provide at least three, 360-degree sources, which will be used for the mid-cycle review. If the employee is a supervisor, the Rating Official requests the names of at least two subordinates for 360-degree input on Performance Elements and Standards and also requests that all subordinates complete the Diversity Checklist.

14. If employees have two or more equal number of adjectival ratings, such as 3 "Exceeds Fully Successful" and 3 "Fully Successful", the Rating Official will provide a mandatory justification in Section 5 of the AEF (see definitions of Derivation of Summary Ratings, pages 23 and 24).

15. The Rating Official writes the draft AEF and Skills Feedback Worksheet (SFW) (see ADS 462.3.1.5) using 360-degree input sources, AIF information, and the employee self-assessment. The Rating Official discusses the draft AEF with the Approving Official.

16. The Rating Official discusses the draft AEF with the employee. Sharing the draft AEF with the employee is mandatory.

17. The employee has five (5) workdays after receipt to review the draft AEF for inconsistencies, factual errors, and gross omissions and to provide any type of beneficial input or supportive documentation which refutes perceived inaccurate statements.

18. The Rating Official, absent documented good cause, has two (2) workdays to revise the AEF, as appropriate.

- a. If the Rating Official and employee cannot agree on the content of the supervisor's assessment on the AEF, they should consult with the Approving Official. If the Approving Official or employee requests participation of the AC, the Rating Official and employee must both provide written justification to the AC.
- b. If the Approving Official or employee requests participation or if level of performance is "Needs Improvement" or "Unacceptable", the Approving Official gives the AEF and SFW in hard copy to the AC.
- c. The AC, absent documented good cause, has ten (10) working days to complete the review, finalize the AEF, and discuss with the Approving Official and then employee.
- d. The AC may recommend and/or make changes in the AEF, including adjectival ratings or the summary rating, if participation is requested.

19. The Rating Official discusses the final AEF with the Approving Official and both sign and date. The Rating Official discusses the final AEF with the employee and gives a copy to the employee.

20. The employee has five (5) workdays to review the final AEF and sign the original, and/or submit an optional Employee Statement (see ADS 462.5). The employee submits the Employee Statement to the Rating Official, the appropriate Administrative Management Services Officer, or the Principal Officer's designee. However, the Rating Official or Approving Official does not have a right to see the Employee Statement (as part of this process), unless the employee desires to share it. This means that no other party, including an Administrative Management Staff (AMS) officer, may share the Employee Statement without permission of the employee.

21. If an employee declines to sign the AEF, the Rating Official will annotate the box in the field "employee declines to sign" on the AEF with an "x." If this is the case, the Rating Official will notify the Approving Official that the employee declined to sign. The Rating and Approving Officials will sign the AEF and an AC Representative will also annotate the AEF indicating the representative's acknowledgement. The AEF is finalized the day after the Rating and Approving Officials are signatory to the form.

### **360 Degree Assessments Procedures and Tips**

- Rating Official Requests 360-degree Information
  - ❖ Rating Official requests from the employee a list of potential 360-degree sources

- (completed at the mid-cycle progress review and at the end of the evaluation period).
- ❖ Employee submits a list of potential 360-degree sources.
- **Rating Official Contacts 360-degree Sources**
    - ❖ Three hundred and sixty degree interviews can be done through personal interview, telephone call, or e-mail.
    - ❖ Rating Official conducts interviews in a private setting to protect confidentiality.
    - ❖ Rating Official must record notes during the 360-degree interviews in order to accurately record information received.
  - ❖ Rating Official focuses on gathering specific examples of performance and accomplishments.
  - ❖ Rating Officials must contact a minimum of three individuals from the employee's list.
  - ❖ Rating Officials can, and should, contact more than three individuals to get a well-rounded picture of the employee's performance.
  - ❖ Rating Officials of supervisors must contact at least two subordinates for 360-degree input and request all subordinates to complete the Diversity Checklist.
- **Rating Official Interprets 360-Degree Information**
    - ❖ Rating Officials are responsible for ensuring that 360-degree information relates to an employee's job performance and accomplishment of Performance Elements.
    - ❖ Rating Officials must be on alert for inaccurate, unfair, or prejudiced input.
    - ❖ Rating Officials must fairly weigh the 360-degree input.
- **360-Degree Information – Comparing Mid-Cycle and End of Evaluation 360-Degree Sources**
    - ❖ At the end of the evaluation period, Rating Officials may want to check with some of the same 360-degree sources used during the mid-cycle review to offer the 360-degree sources an opportunity to comment on any changes in the employee's performance since the mid-cycle review.

## Employee Self-Assessment

Another piece of valuable information for the Rating Official to consider is the employee's self-assessment. The self-assessment gives the employee the opportunity to provide input on his or her evaluation and job performance. It is the employee's responsibility to provide the Rating Official with a written self-assessment. The Rating Official must notify the employee, in writing, and allow the employee ten (10) workdays to submit the self-assessment.

## Tips for the Employee on Preparing the Self-Assessment

- Keep a record of accomplishments and potential 360-degree sources throughout the evaluation period.
- Review Performance Elements and Standards periodically to monitor progress.
- Provide a list of 360-degree sources with contact information to the Rating Official.
- Be specific and use examples to address how you accomplished the Performance Elements.
- Explain what you did, how well you performed, what results you achieved, and what differences or contributions you made to the Mission, Bureau, operating unit, or office, for example.

- Explain any obstacles or special challenges that may have affected your performance. Acknowledge weaknesses and discuss what you are doing to enhance your job knowledge and performance.
- Keep the self-assessment short; be thorough and factual, yet concise; do not disinterest the Rating Official with an overly long self-assessment.
- Don't be shy; it is "OK" to brag about your accomplishments!
- Proofread your self-assessment before submitting.

### Appraisal Input Form

The Appraisal Input Form (AIF), AID 462-4 or 462-5, is used whenever an employee or Rating Official changes jobs within an annual evaluation period. The AIF documents a specific period of performance that will be incorporated into the employee's final AEF. The AIF is not part of the final AEF. It is not filed with the final AEF nor reviewed by the AC (unless requested by the Rating Official or employee).

- Guidelines for completing the AIF
  - ❖ Rating Official must have supervised employee at least two weeks before either employee or Rating Official changes jobs (unless HR/LERB grants a waiver).
  - ❖ AIF records performance for all applicable Performance Elements.
  - ❖ Rating Official provides employee with AIF at least five (5) workdays prior to performance feedback meeting.
  - ❖ Rating Official holds mandatory meeting with employee to review and discuss AIF.
  - ❖ Employee may provide a written response to AIF.
  - ❖ Rating Official forwards AIF, with optional employee response, to employee's next Rating Official (or Administrative Officer) within two (2) workdays after completion.

The AIF will also be used for employees who go on extended TDY (more than 30 calendar days) as a means to record performance in a temporary assignment. The TDY supervisor will complete the AIF and follow all the applicable EEP rules and guidelines.

Performance appraisals may be affected when employees are absent, for example, on extended detail, leave without pay, long-term training (see ADS 458.3.4.2), or for other reasons during the appraisal cycle. Supervisors should contact HR/ELR for advice on how the employee's final AEF should be prepared and handled. All situations are different and must be addressed individually.

### Skills Feedback Worksheet (SFW)

The SFW is a helpful tool that guides the Rating Official during the employee feedback session. Use of the SFW is mandatory throughout the evaluation period. The SFW is not reviewed by the AC (unless participation is requested by the Rating Official or employee) nor is it part of the official rating of record.

### Drafting the AEF

The Rating Official prepares the AEF by gathering the employee's self-assessment, 360-degree information, and AIFs (when applicable). The Rating Official will use written and verbal input, along with his or her own direct observations, to evaluate the employee's performance against the current Performance Elements and Standards.

### Tips on Writing the AEF

- **General Tips**
  - ❖ AEFs concern employee performance.
  - ❖ Limit reporting on performance to the current evaluation period only.
  - ❖ Proofread draft AEFs to eliminate “typos,” grammatical, and editing errors.
  - ❖ Do not rush the AEF process; adhere to the established schedule.
  - ❖ Assessments must be written to support the rating.
- **Inadmissible Comments**
  - ❖ Inadmissible comments are not authorized on the AEF.
  - ❖ AC has the authority to delete any inadmissible comments.
  - ❖ Examples of inadmissible comments include reference to employee’s race, religion, sex, national origin, political affiliation, age, sexual orientation, method of entry into the Agency, retirement plans, medical condition (including pregnancy), or disability.
  - ❖ Do not use employee’s first name unless in a direct quote.
  - ❖ Do not refer to the results of a grievance, equal employment opportunity complaint, or other proceedings.
  - ❖ Do not make reference to conduct issues unless they directly affect performance.
  - ❖ Reference to employee’s leave record is only admissible in cases of unauthorized absences that affect performance.
- **Performance Elements and Performance Standards**
  - ❖ Describe the nature of employee’s conduct, action, or performance, how he or she carried it out, and what difference and/or contribution it made to Mission/Bureau/office/unit.
  - ❖ If the Performance Element is a unit-wide objective, clearly articulate employee’s individual accomplishments.
  - ❖ State employee’s accomplishment on the Performance Elements in terms of the Performance Standards. Generally, if the employee achieved the Performance Standards, the employee achieved a “Fully Successful” on the standard or performance element.
- **Role in the Organization – (AEF, Section 2)**
  - ❖ Describe employee’s role in the organization by specifying unique features of the organizational setting, alignment of the position with Agency/Mission/Bureau/office/unit goals, resources managed (for example, personnel, financial, budgets, acquisition and assistance instruments or physical assets), and continuing responsibilities within the operating unit.
  - ❖ Specify dollar amounts of any resources managed and number of any personnel managed.

**Principal Duties – (AEF, Section 2A)**

Principal duties are the main, job-related responsibilities actually assigned to the employee during the rating cycle.

**Professional Development – (AEF, Section 5A)**

Professional development includes, but is not limited to, activities, training, details, assignments, projects, alone or with others, that provide learning opportunities for professional and career growth.

**Check List – Is the AEF Complete?**

Before proceeding, it is recommended that the Rating Official answer the following questions:

- ❖ Has employee's performance on each Performance Element been fully documented and has an adjectival rating assigned? (AEF, Sections 3 & 4)
- ❖ Has a summary rating been assigned? (AEF, Section 1C)
- ❖ Has the AEF been discussed with the Approving Official?

### **Completing the AEF** (AEF - Section 5)

Once the Rating Official completes the draft AEF, the Rating Official will review the draft with the employee. This is the employee's opportunity to point out any discrepancies, inconsistencies, omissions, or concerns about the AEF. The Rating Official may change the AEF based on the employee's comments.

For AEFs with a summary rating of "Needs Improvement" or "Unacceptable", or if an employee, Rating Official, or Approving Official requests involvement of the AC, the Rating Official will submit the draft AEF and SFW to the AC for review and signature. The AC may meet with and ask the Rating Official to revise the AEF. If AC participation is requested, the Rating Official is mandated to make the requested changes, as the AC has final approval authority.

Once the AEF is signed by the Rating Official, the Approving Official, and the AC Representative (as appropriate), the Rating Official will meet with the employee to review the final AEF. The employee has five (5) workdays from the date of discussion of his or her AEF in which to submit documentation and any other relevant material regarding this matter. The Rating Official has two (2) workdays to revise the AEF, as appropriate.

### **Signing and Dating the AEF**

- Rating Official, Approving Official, AC representative, if required, and employee sign and date AEF, Section 1B.
- An employee's signature acknowledges receipt of a copy of the AEF, but not necessarily concurrence.
- An employee may decline to sign the AEF; however, the final rating on the AEF remains the Rating of Record.

### **Employee Statement**

Employees are encouraged to complete an Employee Statement when needed. The Employee Statement may be used to augment previously stated information and add additional supporting comments. The employee has five (5) workdays to complete the statement and submit it to the Rating Official, appropriate Administrative Management Services Officer, or Principal Officer's designee.

### **Tips to Assist Employees on Completing the Employee Statement**

- Specify how you made a contribution to the Agency or operating unit instead of how good you are.
- Highlight accomplishments that the Rating Official may not have included.
- A certain degree of modesty is important, but do not be shy about your contributions.
- Adhere to the facts of your performance for the evaluation period only.
- Address any areas of improvement that the Rating Official may have noted in the AEF.

- **Make the Statement constructive; it is not the place to air grievances or discrimination complaints, for example. There are formal processes to present grievances and complaints.**
- **Proofread the statement before submitting.**

### **Tips to Successfully Complete the AEF**

- **Gather the Employee Self-Assessment, 360-degree information, Diversity Checklist, and use the SFW.**
- **Obtain an AIF if the employee was TDY for at least 30 calendar days or if there was a change of Rating Official during the evaluation period, for example if the employee or Rating Official moved.**
- **Adhere to the tips on writing AEFs on pages 17 and 18 of the EEP.**
- **Make timely revisions based on AC input.**
- **Give employees at least the minimum mandatory period of five (5) workdays to review final AEF and complete the Employee Statement .**

### **Timeframes**

Each year, the Office of HR will set, in writing, the “due” dates for CS AEFs prior to the end of the evaluation period. Normally, Rating Officials can expect that AEFs will be due between 30 to 45 calendar days after the end of the annual evaluation period. Rating and Approving Officials are responsible for submitting all AEFs within the established timeframes.

### **Waiver of the AEF**

If the effective date of an employee’s separation date from USAID is before the date of the end of the rating cycle, the employee may waive a final AEF. However, the employee must first speak to the HR/ELR staff to determine whether he or she qualifies for a waiver of the final AEF. If approved, the employee must complete a waiver statement. The waiver statement follows:

I, \_\_\_\_\_ would like to waive my final Annual Evaluation Form (AEF) for the \_\_\_\_\_ rating cycle. I understand that by waiving my final AEF for the \_\_\_\_ rating cycle, I am waiving my right to be reviewed by my Rating Official and/or Appraisal Committee, including any performance-based bonus. I am waiving my right to grieve any possible outcome which might have arisen from my not having an AEF prepared for the \_\_\_\_\_rating cycle.

## *VI. Appraisal Committees (AC)*

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The Appraisal Committee (AC) is an optional mechanism, engaged by either the Approving Official or employee, except when the Rating Official gives the employee a summary rating of “Needs Improvement” or “Unacceptable.” The AC provides an organizational perspective to the AEF process and ensures accuracy and objectivity for reviewed AEFs. The AC can recommend and/or initiate changes to the AEF and has final approval authority. Once invoked by the Approving Official or employee, the AC has ten (10) working days to complete review, finalize the AEF, and discuss results with the Approving Official and then the employee. This ten-day working period must be included within the Bureau/office internal deadline in order to be submitted to HR by the established due date.

The Principal Officer of the operating unit, such as the Assistant Administrator or USAID/Washington (USAID/W) Office Director, is responsible for establishing and determining the number of ACs for the operating unit and members (and Chairpersons) of each AC. The Principal Officer, or designee, is accountable for ensuring that the operating unit adheres to EEP policies, procedures, and schedules. Ideally, all AC members will have first-hand knowledge of the performance of every employee being reviewed by the Committee, but at least one member must be a Subject Matter Expert (SME) in the work of the employee.

### **Establishing Appraisal Committees**

The Principal Officer of the operating unit appoints the AC Representative and the AC membership. The AC will be comprised of no fewer than three members. Principal Officers are encouraged to name alternate members to ACs. The AC should consist of knowledgeable, career, U.S. direct-hire (USDH) staff from the operating unit who are familiar with the unit’s strategic objectives and have knowledge of the performance of the employees being evaluated. Every consideration should be given to the inclusion of peers on the AC. USAID/W ACs may consist of both CS and FS employees to the extent that the operating unit has both categories of employees. If there is more than one AC in an operating unit, the Principal Officer must ensure consistency among the ACs. For this reason, the operating unit Principal Officer should appoint an AC Coordinator to coordinate all activities with each AC Chairperson.

### **Deputy Assistant Administrators**

For Deputy Assistant Administrators, the AC must consist of the Agency Counselor, Assistant Administrators, Deputy Assistant Administrators, and/or, as appropriate, the Deputy Administrator.

### **Criteria and Attributes for AC Membership:**

- The AC consists only of U.S. direct hires, FS-tenured, and CS employees. Untenured FS employees and probationary CS employees are disqualified from AC membership. All prospective AC members must be approved by the Principal Officer.
- The AC must consist of no fewer than three members.
- At least one AC member must be an SME in the work of the employee and operating unit and understand how the work relates to overall Agency functions.
- Members must have demonstrated ability to exercise judgment and discretion.
- Members must be trustworthy, responsible, fair, and objective.
- Members must have the confidence and respect of their peers.
- The composition of the AC reflects the Agency’s commitment to diversity.

## AC's Duties and Responsibilities

The following are the most significant periods of AC involvement:

Period	AC Duty - optional	AC Final Action
Beginning of the Evaluation Period	Reviews and signs performance plans. Ensures that Performance Elements and Performance Standards are reasonable and attainable.	AC reviews and signs performance plans when requested by either the Approving Official or employee. AC ensures plan is consistent with position grade.
Middle of the Evaluation Period	Reviews substantive changes to performance plans and progress. Works with Rating Official on performance problems.	AC reviews and signs mid-cycle review when requested by Approving Official or employee. Works with Rating Official on performance problems when requested.
End of the Evaluation Period	Reviews and discusses draft AEF with Rating Official. Deletes inadmissible comments.	AC reviews and signs all AEFs when requested by Rating Official or Approving Official or employee within ten (10) workdays from initial request.
	AC Duty Mandatory	Mandatory review for a "Needs Improvement" or "Unacceptable" Summary Rating. When invoked, the AC has final approval authority on content and ratings.

### Confidentiality

AC deliberations are strictly confidential and governed by the Privacy Act. Thus AC members, including Rating Officials and ratees, must not discuss AC proceedings with anyone other than AC members, the Rating Official, or the Approving Official of the employee being reviewed. It is a violation of the EEP confidentiality and Privacy Act rules to reveal AC discussions to those not authorized to receive such information. Disciplinary action will be initiated when a violation of confidentiality or privacy is confirmed.

### Recusal of AC Members

AC members must recuse themselves as AC members and leave the room while a draft AEF that they prepared as a Rating Official or Approving Official is being reviewed. They may respond to questions from the AC, but they cannot participate in nor influence the AC's deliberations. Additionally, AC members must recuse and absent themselves if their own AEF is being reviewed by the AC committee or if they believe they cannot be objective.

### Absences from the AC

AC members may not delegate their AC responsibilities during absences. If an AC member anticipates a prolonged absence, the Principal Officer or designee will replace the AC member.

## VII. Adjectival and Summary Ratings

### Adjectival Ratings

The Rating Official will assign an adjectival rating for each Performance Element and optional Performance Element(s), which is indicative of the employee's performance. Use the following rating scale to determine the adjectival ratings:

Adjectival Rating	Description
Out standing	Work performance consistently exceeds established Performance Elements and Standards
Exceeds Fully Successful	Work performance usually exceeds established Performance Elements and Standards
Fully Successful	Work performance consistently meets and occasionally exceeds established Performance Elements and Standards
Minimally Successful	Work performance meets some but not all established Performance Elements and Standards
Unacceptable	Work performance does not meet established Performance Elements and Standards

### Summary Ratings

Rating Officials will assign an overall Summary Rating based on the ratings of the employee's individual Performance Elements. The Summary Rating is derived from the critical adjectival ratings of individual Performance Elements. Because rating involves a degree of personal judgment, other factors like the relative importance of one Element versus another may well be considered. With the exception of an "Unacceptable" Summary Rating (which is required if a critical element's adjectival rating is "Unacceptable"), supervisors are required to briefly explain a Summary Rating when an employee has two or more equal number of adjectival ratings. The employee is given an adjectival Summary Rating based on the five-level scale below. When supervisors are required to explain a Summary Rating, a brief narrative must be included on the rating form.

Summary Rating	Description
Out standing	In order to receive an "Out standing" rating, the mandatory Performance Element #1 (Execution of Duties and Delivery of Assignments), must be "Out standing", a majority of critical Performance Elements must be rated "Out standing", and none of the other elements can be lower than "Exceeds Fully Successful." For supervisors, in addition to Performance Element #1 being "Out standing", three (3) of the four (4) supervisor-specific Performance Elements #7-10 must be "Out standing", with the majority of Performance Elements #2-6 being "Out standing."
Exceeds Fully Successful	In order to receive an "Exceeds Fully Successful" rating, a majority or preponderance of critical performance elements must be rated, "Exceeds Fully Successful", and none may be below "Fully Successful."

<b>Fully Successful</b>	<b>In order to receive a “Fully Successful” rating, a majority or preponderance of critical performance elements are rated, “Fully Successful”, and none may be below “Minimally Successful.”</b>
<b>Minimally Successful</b>	<b>In order to receive a “Minimally Successful” rating, a majority or preponderance of critical performance elements are rated, “Minimally Successful”, and none may be below that level.</b>
<b>Unacceptable</b>	<b>Any one critical Performance Element or Optional Performance Element is rated “Unacceptable.”</b>

Use “pen and ink” notations to indicate the adjectival and summary ratings on the AEF.

## *VIII. Managing Performance*

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While most employees' performance is rated "Fully Successful", what happens when an employee's performance is rated "Minimally Successful" or "Unacceptable?" What does the Rating Official do to help the employee overcome the performance problem?

There are three major steps to addressing performance problems. But first, a Rating Official must answer this question, "Is the problem one of poor performance or of misconduct?" The Office of Personnel Management (OPM) states:

"Misconduct is generally a failure to follow a workplace rule (whether written or unwritten). Examples of misconduct include tardiness and absenteeism, insubordination, and falsification. Poor performance, on the other hand, is simply the failure of an employee to do the job at an acceptable level. The acceptable level is usually, but not always, documented in written Performance Elements and is typically defined in terms of quality, quantity, or timeliness. Although it is normal for performance and misconduct to be interrelated, it is important to recognize the difference between the two."

On issues of misconduct, the Rating Official will seek guidance from the HR/ELR staff. When the issue is primarily a performance problem, the Rating Official will follow this three-step process:

### Step 1 – Communicate Expectations and Performance Problems

Consistent performance feedback is the best way to prevent performance problems from developing. In most cases, an open line of communication between the Rating Official and employee can resolve or improve performance problems. When the Rating Official determines that there is a performance problem, the Rating Official will conduct a counseling session with the employee. The counseling session will

- Specify Performance Elements the employee is performing poorly;
- Communicate the acceptable level of performance; and
- Specify how the employee can improve to an acceptable level of performance.

#### Step 1 - Helpful Tips for the Rating Official

- ❖ Review the performance problem with HR/ELR staff.
- ❖ Begin the counseling process early; immediately when performance begins to decline.
- ❖ Conduct the counseling session in a private place.
- ❖ Focus on poor performance, not personality.
- ❖ Consider whether additional training can help employee improve.
- ❖ Seek confirmation from employee that he or she understands the situation, the steps to improve performance, and what an acceptable level of performance is.
- ❖ Focus the session on helping employee to improve his or her performance.

**Remember: Do not wait until the end of the evaluation period to address performance issues.**

**Begin the process when a performance problem is identified. Early intervention with counseling and/or training can often resolve or improve an employee's performance. If not, proceed to Step 2.**

## Step 2 – Providing an Opportunity to Improve

Rating Official completes the following steps:

<b>Step 2 Process</b>	
Determination of "Unacceptable" performance is made in	One or more critical Performance Elements ("Unacceptable")
Notify HR/ELR	Mandatory
Notify AC of the "Unacceptable" performance and steps being taken to improve performance	Mandatory for "Unacceptable" performance
Issue written notice of Opportunity Period* and specify in writing (Complete Section 6 of AEF)  * Opportunity Period also may be called "Performance Improvement Period."	Specify the Performance Element for which performance is "Unacceptable"
	What is needed to bring the performance up to the "Minimally Successful" level
	What assistance will be provided
	What the consequences are of failing to improve during the Opportunity Period
Formal opportunity period to improve	Employee must bring performance up to the "Minimally Successful" level
	Specify number of days for performance improvement period - minimum 90 days
	Specify progress reviews - minimum one (1) during opportunity period
Determine performance improvement	Consider the evidence of performance and compare it to the standards and expectations outlined in the Opportunity Period to determine if performance has improved to the "Minimally Successful" or higher level
	If yes, notice of "Unacceptable" performance will remain in the evaluation file for one (1) year from the start of the Opportunity Period. After the year, if performance is "Unacceptable", go to Step 3
	If no, go to Step 3

At the end of the Opportunity Period, the Rating Official evaluates the employee's performance and provides a summary rating for the Opportunity Period.

### Helpful Tips for the Rating Official

- ❖ Document employee's performance problems and progress made on improving performance during the Opportunity Period.
- ❖ Provide appropriate assistance to help employee in performance improvement.
- ❖ The Opportunity Period does not eliminate the need for the regularly scheduled performance appraisal. The Rating Official will complete the AEF as usual for the entire performance cycle.

### **Step 3 – Taking Action**

If there is a final determination that the Summary Rating is “Minimally Successful”, the Supervisor must work with the employee to bring the “Minimally Successful” elements up to the “Fully Successful” level.

When there is a final determination of “Unacceptable” performance on one or more critical Performance Elements, the Rating Official has the authority to take action under two authorities for employees: Title 5 Code of Federal Regulations (CFR) Part 432, Performance Based Reduction in Grade and Removal Actions, or Title 5 Code of Federal Regulations (CFR) Part 752, Adverse Actions. There are distinct differences between 5 CFR Part 432 and 5 CFR Part 752, which the HR/ELR can further explain. Briefly, the differences are

- 5 CFR 432 – (Used for “Unacceptable” performance only) – Requires an Opportunity Period; requires established Performance Elements; actions are demotion or removal, and action may not be mitigated. Burden of proof is lower than for 5 CFR Part 752 cases.
- 5 CFR 752 – Does not require an Opportunity Period; used to promote efficiency of the service; can be held to ad hoc standards, such as explicit instructions or work assignments; actions are suspension, demotion, or removal, and action may be mitigated. Burden of proof is preponderance of the evidence.

As with Step 2, HR/ELR involvement is mandatory at Step 3. HR/ELR will explain, assist, and guide the Rating Official through the “Take Action” steps. When going to HR/ELR, it is critical to bring all copies of performance documentation, such as written notification, supervisory and counseling notes, and Performance Elements.

**A Note to Rating Officials** – Taking action on a poor performer is hard. No one wants to do it, but it is a Rating Official's responsibility as a supervisor to hold all employees accountable to meet their Performance Elements and Standards. When an employee does not meet the established Performance Elements, the Rating Official must take the appropriate action to resolve the problem. The Rating Official is not alone in this difficult process. Go to HR/ELR early in the performance management process. Do not wait until the end of the evaluation period to determine that there is a performance problem. HR/ELR can guide and assist Rating Officials in resolving performance problems – hopefully to a successful resolution for both the employee and management!

## *IX. Resources*

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The following is a list of various resources and reference materials for the EEP:

- ADS Series 400, Chapter 462 - <http://www.usaid.gov/policy/ads/400/462.pdf>
- OPM has an excellent Web site on Addressing and Resolving Poor Performance Problems.  
Go to - <http://www.opm.gov/perform/poor/index.html-ssi>
- Another OPM Web site that helps with overall CS performance management is <http://www.opm.gov/perform/index.asp>
- Other references
  - [5 USC 43](#)
  - [5 USC 75](#)
  - [5 CFR 430](#)
  - [5 CFR 432](#)
  - [5 CFR 752](#)
  - [5 CFR 531](#) (Within Grade Increases)

## *X. Forms and AEF and AIF Instructions*

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The following section contains all forms used in the EEP:

- 1) Annual Evaluation Form - ([AID Form 462-1](#))
- 2) Employee Statement - ([AID Form 462-2](#))  
[Highly encouraged for all employees to complete]
- 3) Skills Feedback Worksheet - ([AID Form 462-3](#))  
[Mandatory for all employees]
- 4) Appraisal Input Form (for Non-Supervisory staff) - ([AID Form 462-4](#)); and Appraisal Input Form (for Supervisory staff) - ([AID Form 462-5](#))  
Used for all employees who are reassigned to a new job, traveling on extended TDY, or when there is a change of Rating Official.
- 5) Diversity Checklist ([AID Form 400-27](#))  
[Mandatory for Rating Officials of supervisors to request all employees to complete]
- 6) Waiver Statement (see page 20)